

Appendix A: Management and Organization

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¹ Dashes (-) in this appendix's tables indicate that data is not available.

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Municipal Coordination Plan Activities

The Districts participated in coordination activities by attending meetings, taking part in special studies, and collaborating with local agencies. Table A-1 summarizes the Districts' coordination activities for the reporting period as required by Caltrans Conformed NPDES Permit Section E.2.b.1)b).

Table A-1: Summary of Municipal Coordination

District	Construction Projects and Permit Compliance	Enforcement	Fiscal Planning	Municipal Permit Coordination	Public Education and Staff Training	TMDL Development and Implementation
1	-	-	-	-	-	-
2	-	-	-	-	-	-
3	✓	-	-	✓	✓	✓
4	-	-	-	-	-	-
5	✓	✓	✓	✓	✓	✓
6	-	-	-	✓	✓	-
7	-	✓	✓	✓	✓	✓
8	-	-	-	✓	-	-
9	-	-	-	✓	-	-
10	-	-	-	-	-	-
11	-	✓	-	✓	-	✓
12	-	-	-	✓	-	✓

During the reporting period, over 200 meetings were attended by District staff with municipal stormwater permittees to coordinate the implementation of total maximum daily loads (TMDLs), public education campaigns, regional planning, and other activities. Table A-2 summarizes the coordination conducted by the Districts with the municipalities within their jurisdiction. Municipal coordination is discussed in Section 2 of the Annual Report.

Table A-2: Municipal Coordination Discussion Items

District	Meetings Attended	Key Issues Discussed
1	-	-
2	None	-
3	July 14, 2015	Caltrans TMDL Meeting – Lahontan Regional Board
3	July 14, 2015	Met with League to Save Lake Tahoe to discuss efforts regarding water quality within the Lake Tahoe Basin.
3	August 26, 2015	TMDL Tool Rollout – Lahontan Regional Board
3	August, 27, 2015	Meeting with Lahontan to discuss Caltrans efforts for TMDL compliance.
3	October 5, 2015	Lahontan and Lake Tahoe Hydrologic Unit Coordination Meeting – Tri-Annual meeting amongst Caltrans Construction Stormwater, NPDES Coordinator, Regional Water Quality Board (RWQCB) and Tahoe Regional Planning Agency (TRPA) representatives. Discussed winterization of construction projects, Grading Season Extension/Variance Request, lessons learned and upcoming construction projects.
3	October 16, 2015	Implementers Meeting in Lake Tahoe
3	October 29, 2015	03-0F310 Project Meeting with Central Valley Regional Board
3	October 30, 2015	Caltrans District Director met with CVRWQCB to discuss various water quality issues.
3	January 12, 2016	Lahontan RWQCB Public Meeting – Lahontan Region is considering issuance of updated General Waste Discharge Requirements/NPDES Permit (General Permit) for construction activities in the Lake Tahoe Hydrologic Unit. The current permit (Board Order No. R6T-2011-0019) is set to expire in 2016 and would be replaced by an updated General Permit.
3	January 26, 2016	Discussion with the Sutter County's Water Resource Engineer – Phase II, Small Municipal Separate Storm Sewer Systems (MS4) General Permit area.
3	March 22, 2016	Lahontan and Lake Tahoe Hydrologic Unit Coordination Meeting – Bi-Annual meeting amongst Caltrans Construction Stormwater, NPDES Coordinator, RWQCB and TRPA representatives. Provided information on Caltrans' new Stormwater Inspection Tool, review upcoming 2016 construction season projects, and discussed the upcoming Caltrans Lake Tahoe Stormwater Training for May.
3	January 8, 2016	TMDL Road Ops Plan Discussion with Lahontan
3	March 16, 2016	Implementers Meeting in Lake Tahoe
3	April 20, 2016	SWQIC Meeting – Lahontan Regional Board
3	May 12, 2016	Central Valley Regional Board – Natoma Overhead Project Review
3	May 18, 2016	Implementers Meeting in Lake Tahoe
3	June 23, 2016	Snow Melting Machine – Lahontan Regional Board Coordination
4	None	-
5	July 16, 2015	Central Coast Partners for Water Quality Coordination Meeting- Topics of discussion included recent RWQCB MS4 Program Audits, upcoming public outreach event planning, the ongoing Community Based Social Marketing campaign (CBSM), Our Water Our World Training opportunities, PEAIIP Update, and CASQA call updates.
5	July 22, 2015	Santa Barbara County Association of MS4 Managers (SBCAMM) coordination meeting- Topics of discussion were the ongoing Close the Poop Loop CBSM, field water quality sampling and equipment demonstration, Annual Reporting progress, Attach G TMDL load reduction requirements, and pending Trash Amendment requirements.

Table A-2: Municipal Coordination Discussion Items

District	Meetings Attended	Key Issues Discussed
5	September 15, 2015	Central Coast Partners for Water Quality Coordination Meeting – Topics of discussion included recent and pending retirements/stormwater coordinator position openings, upcoming public outreach event planning, the ongoing CBSM - SLOscoopsPoop.com, pending Annual Reports and year 2 questions, Our Water Our World Training opportunities, and PEAI/Tool to Estimate Load Reductions (TELR) being developed by 2NDNATURE.
5	October 8, 2015	Central Coast Partners for Water Quality Coordination Meeting – Topics of discussion included upcoming events (CASQA Conference Oct 19-21), upcoming public outreach event planning, pending Annual Reports and year 2 questions, PEAI/integrated load characterization (modeling), and the ongoing CBSM - SLOscoopsPoop.com.
5	November 19, 2015	Central Coast Partners for Water Quality Coordination Meeting – Topics of discussion included upcoming events, upcoming public outreach event planning, the ongoing CBSM - SLOscoopsPoop.com, bulk Mutt Mitt Purchase, Industrial General Permit Facilities (non-filers), and the pending Trash Amendment.
5	January 21, 2016	Central Coast Partners for Water Quality Coordination Meeting – Topics of discussion included new stormwater employee introductions, Low Impact Development Manual Grant, upcoming public outreach event planning, Prop 1 Stormwater Grant Program opportunities, facility assessments, storm drain maintenance (triage and assessment), and homeless encampment cleanups.
5	February 18, 2016	Central Coast Partners for Water Quality Coordination Meeting – Topics of discussion included a possible Stormwater Resource Plan grant (Prop 1), upcoming public outreach event planning, the pending Trash Amendment, staff training needs, Our Water Our World training opportunities, PEAI web based program- TELR beta testing.
5	March 17, 2016	Central Coast Partners for Water Quality Coordination Meeting – Topics of discussion included planning for upcoming public outreach events CASQA Quarterly Meeting updates, water quality monitoring show and tell, Creek Day Cleanup Recap (Paso Robles 6.5 tons of debris removed from the Salinas River, 60,000lbs out of SLO Creek), the pending Trash Amendments, Professional Certifications (CPESC, CPMSM, QSP/QSD), and development of an Enforcement Response Plan.
5	April 21, 2016	Central Coast for Water Quality Coordination Meeting – Topics of discussion included planning for upcoming public outreach events, Public Service Announcements cost sharing and website stopdirtywater.org, Our Water Our World cost sharing and shelf talkers for hardware stores, water quality monitoring efforts, and development of an Enforcement Response Plan
5	April 27, 2016	Santa Barbara County Association of MS4 Managers (SBCAMM), coordination meeting – Topics of discussion were compliance with the pending Trash Amendment and vendor demonstration of connector pipe screening/trash capture inserts, opportunities for collaborative training, the ongoing CBSM, program (Close the Poop Loop), and MS4 Program updates
5	June 16, 2016	Central Coast Partners for Water Quality Coordination Meeting – Topics of discussion included recent RWQCB MS4 Program Audits, planning for upcoming public outreach events, MS4 Training, TELR BMP RAM launch, Annual Reporting issues
6	October 22, 2015 January 21, 2016 February 18, 2016	Fresno Metropolitan Flood Control District – strategy for public involvement and education by asking businesses, community groups and agencies to assist in outreach programs to keep the community clean and protect water resources.

Table A-2: Municipal Coordination Discussion Items

District	Meetings Attended	Key Issues Discussed
6	August 20, 2015 April 21, 2016	Central Valley Water Awareness Committee (CVWAC) – The Committee has emphasized water related needs and issues – both urban and rural – within Fresno County and the central San Joaquin Valley. CVWAC's members are dedicated to helping improve appreciation of the importance of water, educate about where it comes from and how it is beneficially used to help ensure the quality of life in the Valley.
6	August 10, 2015 February 8, 2016 May 9, 2016	Emerging Infectious Diseases Task Force – West Nile Virus – Community members from the Health Department, Mosquito and Vector Control Districts, Hospitals, Schools, Flood Control District, Law Enforcement, Financial Institutions and Churches receive global, national, state and county updates on mosquito/vector control and West Nile Virus surveillance. NPDES Permit issues and BMPs are discussed to promote community health, comfort, and welfare through effective and responsive vector control.
6	April 23, 2016	Water-Wise Plant Event – a free give and take of drought-resistant plants for a Fresno friendly garden at the Fresno State Horticulture Greenhouses.
7	July 16, 2015 August 20, 2015 September 17, 2015 October 15, 2015 November 19, 2015 December 17, 2015 January 21, 2016 February 18, 2016 March 17, 2016 April 21, 2016 May 19, 2016	Lower San Gabriel River Watershed Group Meeting -budget report, status of Caltrans Participation, Prop 1, Trash Amendment Update, Oil Grant Money and Catch Basin Inserts, CIMP Update, Implementation for 16-17
7	July 2, 2015 August 6, 2015 September 3, 2015 October 1, 2015 November 12, 2015 December 3, 2015 January 7, 2016 March 10, 2016 April 7, 2016	Ballona Creek Watershed Group Meeting – TSO Updates, CIMP MOA Update, Non Stormwater Outfall Follow-up investigation Update, PAS sampling Update, Prop 1 update, Annual Reporting
7	September 23, 2015 November 18, 2015 January 20, 2016	Santa Monica Bay J2&3 Meeting – CIMP update, Annual Reporting, miscellaneous
7	June 29, 2015 November 23, 2015 February 8, 2016 March 21, 2016 May 16, 2016	Calleguas Creek Watershed Group Meeting – financial reports review, Proposed budget adoption, Implementation Plan, Metals TMDL, memorandum of agreement (MOA) amendment/rewrite update, Salts Committee Report, Ag Waiver, Stormwater NPDES
7	November 10, 2015 March 8, 2016	Malibu Creek Watershed Management Group Meeting – Caltrans participation in CIMP, Trash and Nutrient TMDLs
7	November 17, 2015 December 15, 2015 February 16, 2016 April 19, 2016	NSMB IRWMP Steering Meeting – OPTI Enhancements, DAC Outreach Coordinator request for proposal, As Needed Consultant RFQ Solicitation, Prop 1 Water Grant Presentation – City of Calabasas, Funded Projects Updates

Table A-2: Municipal Coordination Discussion Items

District	Meetings Attended	Key Issues Discussed
7	July 14, 2015 August 18, 2015 September 8, 2015 October 13, 2015 November 10, 2015 December 8, 2015 January 12, 2016 February 9, 2016 April 12, 2016 May 10, 2016	Beach Cities Watershed Management Group/Santa Monica Bay Jurisdictional Group 5&6 Meeting -- communicate, coordinate, cooperate and collaborate with the local agencies in the watershed on areas of joint interest concerning TMDL monitoring and implementation; negotiation on terms of cooperative agreement; participation in Santa Monica Bay Foundation Clean Bay Restaurant Program; participate in consultants' presentation; public education events.
7	August 24, 2015 October 26, 2015 January 11, 2016 February 22, 2016 April 25, 2016 June 27, 2016	Lower Los Angeles River Watershed Management Group Meeting-- communicate, coordinate, cooperate and collaborate with the local agencies in the watershed on areas of joint interest concerning TMDL monitoring and implementation; negotiation on terms of cooperative agreement; public education events; education seminars on public policies and agencies strategies for compliance; legislative efforts; Workshops.
7	July 16, 2015 August 20, 2015 October 15, 2015 November 19, 2015 January 21, 2016 February 18, 2016 March 17, 2016 April 21, 2016 May 19, 2016 June 16, 2016	Los Cerritos Channel Watershed Management Group Meeting -- communicate, coordinate, cooperate and collaborate with the local agencies in the watershed on areas of joint interest concerning TMDL monitoring and implementation; negotiation on terms of cooperative agreement; public education events; education seminars on public policies and agencies strategies for compliance; legislative efforts; full-capture device workshop for Trash TMDLs.
7	August 12, 2015 May 9, 2016 May 12, 2016	Marina del Rey Harbor Watershed Management Group Meeting; Marina del Rey Harbor Sediment Stressor Study Presentation; approaches for study; strategies for implementation; Meeting and presentation with Los Angeles Region Water Quality Control Board.
7	October 22, 2015	Los Angeles Region Integrated Regional Water Management Joint Power Authority (GWMA) Meeting--communicate, coordinate, cooperate and collaborate with the local agencies in the watershed on areas of joint interest concerning TMDL monitoring and implementation; negotiation on terms of cooperative agreement covering four watershed management groups.
7	June 2, 2016	Ballona Creek Watershed Management Group Meeting -- communicate, coordinate, cooperate and collaborate with the local agencies in the watershed on areas of joint interest concerning TMDL monitoring and implementation; negotiation on terms of cooperative agreement; data format and compatibility and California Environmental Data Exchange Network data submittal; CIMP implementation.
7	May 19, 2016	Lower Santa Clara River Estuary and Reach 3 Bacteria TMDL Group Meeting-- communicate, coordinate, cooperate and collaborate with the local agencies in the watershed on areas of joint interest concerning TMDL monitoring and implementation; negotiation on terms of cooperative agreement; project cost estimation.
7	January 27, 2016 April 28, 2016	CIMP Watershed Monitoring Coordination Meeting -- Water Quality Standards Selection Guidance and Criteria, flood control district Mass Emission Station Monitoring Status, CIMP Monitoring and Non-Stormwater Program Status, Permitting of Monitoring Stations, and Follow-up Actions.

Table A-2: Municipal Coordination Discussion Items

District	Meetings Attended	Key Issues Discussed
7	June 15, 2016	City of Los Angeles (LA) and Caltrans Watershed Monitoring Agreements Coordination Meeting -- monitoring requirements, agreement terms, watersheds and TMDLs to be included, agreement deliverables, agreement forms, data reporting formats, monitoring sites and frequencies, cost sharing formula.
8	4-5 per month	The DNC or delegated staff participated as active Project Development Team members with local agencies developing 20+ major projects on the SHS. A total of 15 municipalities and 2 County agencies are identified either as the lead agency or as stakeholders for these projects.
8	Quarterly	Lake Elsinore/Canyon Lake TMDL Task Force meetings: information sharing and seek opportunities to collaborate on TMDL-related or other projects in the watershed. Additional coordination took place several times via email.
8	Quarterly	NPDES Desert Task Force meetings – information sharing and seek opportunities to collaborate on TMDL-related or other projects in the watershed. Shared updates to the new permit.
8	December 8, 2015	NOV, I-15 JPOE CHP facility, Correspondence with Const., Design, Maintenance, PPM, Hydraulics, and the Lahontan Water Board for a project trying to get a NOT with erosion on the banks of a man made channel
8	March 18, 2016	The DNC coordinated with the storm water inspector for the City of Ontario along with maintenance to clean up debris that was clogging culverts along a stretch of the 60 Freeway.
8	May 3, 2016	At the May 3rd Lake Elsinore & Canyon Lake TMDL Task Force meeting informed stakeholders of a new Caltrans program, Cooperative Implementation Agreement (CIA) to assist cities and agencies in implementing BMPs within TMDL watersheds across the State.
9	July 13, 2015	LA Dept. of Water and Power – Owens Lake Master Plan: utilize Best Management Practices regarding stormwater runoff.
9	September 11, 2015	Mono County/private party – Topaz Parcel: highway access not to interfere with drainage culvert or historic drainage patterns.
9	October 13, 2015	Inyo County – Dollar Store: no additional storm water runoff onto State right-of-way.
9	November 14, 2015	Inyo County – Specific Plans: work w/ Caltrans to achieve drainage system upgrades where beneficial.
9	November 13, 2015	Kern County – Tamaron Drive: drainage may need to be addressed.
9	December 7, 2015	Bishop Tribe – US 395 Development: Caltrans considering procuring easement to more easily maintain adjacent highway drainage facility.
9	February 16, 2016	Mono County – Stock Drive Realignment: design regarding drainage to be addressed during permit review phase.
9	February 19, 2016	Inyo County/private party – Mission Inn Parking: hydraulic study needed to adequately assess drainage, stormwater, culverts, channels, swales, etc.
9	May 19, 2016	Bishop Tribe – See Vee Development: address drainage and existing culvert.
10	None	-
11	From July 1, 2015 until June 30, 2016, meetings ranged from 3 to 6 a month for total of 69 Meetings	Development of Water Quality Improvement Plan (WQIP): San Diego River, San Luis Rey, Mission Bay, Los Penasquitos and San Diego Bay Watersheds. Reference Study: Santa Margarita River. Investigative Order: Mouth of Chollas Creek. Other: Regional Water Quality Control Board

Table A-2: Municipal Coordination Discussion Items

District	Meetings Attended	Key Issues Discussed
12	January 12, 2016	Doheny / Lower San Juan Creek Stakeholder Meeting – with the City of Dana Point as lead, met with other watershed partners to the San Juan Creek watershed to discuss water quality improvements to storm drain systems that outlet to San Juan Creek and Doheny State Beach. Caltrans is conducting non-stormwater monitoring to support this stakeholder group.

Fiscal Analysis

Table A-3 summarizes the proposed and actual statewide Stormwater District and Division Expenditures during fiscal year 2014-2015. Table A-4 shows the proposed and actual statewide Stormwater District and Division Expenditures for fiscal year 2015-2016. The expenditures shown represent funds spent on personnel services (salaries) and operating expenses (contract estimated support costs (also referred to as an encumbrance) and expenditures, travel, training, office supplies, etc.) for each District and Headquarters functions. Personnel Years (PY) represent the number of hours worked in a fiscal year less non-working hours such as vacation, sick leave, military leave, jury duty, etc. Caltrans estimates a PY equals 1758 work hours. Table A-5 identifies the proposed statewide Stormwater District and Division Expenditures for fiscal year 2016-2017.

Caltrans' Stormwater Management Program was appropriated \$103,106,000 to comply with the Caltrans NPDES Permit and related activities in fiscal year 2015-2016. Total expenditures were \$102,450,059, with \$45,747,777 in personal services, \$56,702,281 in operating expense and 472 in Personal Years (PYs). This fiscal year the infrequent storm events continued to depress monitoring costs, while the new permit provision increased expenses. Consequently, Caltrans expended and encumbered a little more than 99% of its total fiscal year 2015-2016 appropriation.

In fiscal year 2015-2016, Caltrans continued to assess the Caltrans NPDES Permit requirement and its programmatic and fiscal impacts. Consistent with last fiscal year, more than 100 sites (excluding cooperative monitoring sites) continue to be monitored for stormwater quality. Caltrans anticipates that stormwater quality monitoring will continue to increase in future years, as new TMDLs are promulgated, additional treatment BMPs are installed and BMP retrofits are completed. The State Water Resources Control Board amended the Caltrans NPDES Permit to include 84 TMDLs comprised of 382 reaches on May 20, 2014 and approved the prioritized list of TMDLs submitted by Caltrans on September 10, 2015. Caltrans continued to implement the Cooperative Implementation Agreement program by entering into four agreements this fiscal year and anticipates entering into two more agreements in the next eighteen months to continue earning compliance units. Resource limitations are likely to prevent the Stormwater Management Program's ability to enter into additional agreements until some of the current projects funded by these agreements are completed in 2019. In summary, Caltrans' Stormwater Management Program is likely to grow as California returns to a more "typical" weather pattern, continues to implement new permit requirements, and strives to earn the required 1,650 compliance units.

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Table A-3: Statewide District and Division Stormwater Expenditures

Fiscal Year 2014-2015 Expenditures								
Fiscal Category	Personnel Years Expenditures		Personal Service Expenditures		Operating Expense Expenditures		Total Expenditures	
	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual
Districts								
1	14.40	12.30	1,132,022.00	1,035,143.54	491,434.00	552,389.38	1,623,456.00	1,587,532.92
2	20.50	19.30	1,696,768.00	1,708,631.96	1,466,821.53	1,428,677.16	3,163,589.53	3,137,309.12
3	57.20	44.20	4,406,140.00	3,813,145.36	5,576,964.00	5,096,723.22	9,983,104.00	8,909,868.58
4	40.80	35.20	3,648,650.00	3,614,409.93	1,471,287.00	1,178,189.39	5,119,937.00	4,792,599.32
5	20.70	18.10	1,473,807.00	1,471,128.29	617,667.00	597,157.14	2,091,474.00	2,068,285.43
6	32.00	34.50	3,060,993.00	3,276,610.54	1,746,227.00	1,907,146.68	4,807,220.00	5,183,757.22
7	40.10	55.30	4,582,266.00	5,801,466.00	9,518,376.00	9,232,247.69	14,100,642.00	15,033,713.69
8	25.00	25.50	2,280,584.00	2,410,758.20	2,051,389.00	1,884,247.88	4,331,973.00	4,295,006.08
9	10.00	9.50	763,005.00	813,214.73	279,952.00	159,296.52	1,042,957.00	972,511.25
10	19.60	22.80	1,788,375.00	1,887,478.46	1,603,504.00	1,118,803.50	3,391,879.00	3,006,281.96
11	31.30	25.80	2,764,601.00	2,465,218.33	1,159,636.00	1,442,447.50	3,924,237.00	3,907,665.83
12	24.60	20.70	1,986,107.00	1,985,999.36	838,128.00	802,281.56	2,824,235.00	2,788,280.92
District Subtotals	336.20	323.20	29,583,318	30,283,205	26,821,386	25,399,608	56,404,704	55,682,812

Table A-3: Statewide District and Division Stormwater Expenditures

Fiscal Year 2014-2015 Expenditures								
Fiscal Category	Personnel Years Expenditures		Personal Service Expenditures		Operating Expense Expenditures		Total Expenditures	
	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual
Headquarters Divisions								
22 – Administration	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
32 – Equipment	0.00	0.00	0.00	337,514.60	0.00	6,374.56	0.00	343,889.16
42 – Legal	7.00	2.00	666,000.00	3,570,770.78	65,000.00	3,451.30	731,000.00	3,574,222.08
43 – Environmental Analysis	22.00	21.20	2,964,972.00	2,112.92	34,515,677.00	31,722,419.83	37,480,649.00	31,724,532.75
44 – Project Management	0.00	0.00	0.00	216,490.35	0.00	0.00	0.00	216,490.35
51 – Traffic Operations	2.90	1.30	383,092.00	31,603.53	116,000.00	5,165.04	499,092.00	36,768.57
52 – Right-of-Way	0.50	0.20	15,318.00	599,004.33	750.00	0.00	16,068.00	599,004.33
53 – Design	4.00	3.20	482,541.00	211,069.29	6,000.00	6,148.46	488,541.00	217,217.75
54 – Construction	2.00	1.10	241,270.00	1,159,439.49	3,000.00	514.28	244,270.00	1,159,953.77
56 – Maintenance	5.00	6.90	1,532,450.00	97,349.22	449,694.00	795,473.93	1,982,144.00	892,823.15
59 – Engineering Services	0.30	0.60	107,039.00	683.33	4,009,493.47	4,000,012.00	4,116,532.47	4,000,695.33
65 – Research & Innovation	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
81 – Accounting	0.00	0.00	0.00	0.00	0.00	1,280.00	0.00	1,280.00
86 – Budget & Proprietary	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Headquarters Subtotals	43.70	36.50	6,392,682	6,226,038	39,165,614	36,540,839	45,558,296	42,766,877
Grand Totals	379.90	359.70	35,976,000	36,509,243	65,987,000	61,940,447	101,963,000	98,449,690

Table A-4: Statewide District and Division Stormwater Expenditures

Fiscal Year 2015-2016 Expenditures								
Fiscal Category	Personnel Years Expenditures		Personal Service Expenditures		Operating Expense Expenditures		Total Expenditures	
	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual
Districts								
1	14.20	17.09	1,304,166.00	1,461,392.07	1,225,713.00	1,188,188.06	2,529,879.00	2,649,580.13
2	20.30	28.43	1,639,795.00	2,479,063.52	1,376,802.00	1,208,969.51	3,016,597.00	3,688,033.03
3	57.40	61.30	4,384,518.00	5,114,088.85	3,610,276.00	2,756,608.94	7,994,794.00	7,870,697.79
4	40.30	49.45	3,736,713.00	4,900,054.37	1,605,681.00	1,444,835.33	5,342,394.00	6,344,889.70
5	21.10	23.99	1,751,120.00	1,956,841.12	660,630.00	495,959.24	2,411,750.00	2,452,800.36
6	31.60	36.23	2,950,414.00	3,410,286.67	1,337,153.00	2,143,510.96	4,287,567.00	5,553,797.63
7	39.30	81.70	5,547,199.00	7,928,264.65	6,825,791.00	4,311,211.20	12,372,990.00	12,239,475.85
8	25.20	36.79	2,674,887.00	3,362,315.53	2,703,847.00	2,315,007.56	5,378,734.00	5,677,323.09
9	9.30	9.34	944,423.00	847,676.91	370,987.00	159,187.47	1,315,410.00	1,006,864.38
10	19.60	28.55	1,848,730.00	2,406,172.23	1,283,192.00	976,871.14	3,131,922.00	3,383,043.37
11	31.30	36.05	2,194,328.00	3,299,711.66	1,987,157.00	608,925.16	4,181,485.00	3,908,636.82
12	25.30	29.14	2,390,423.00	2,655,681.17	1,579,687.00	1,579,901.18	3,970,110.00	4,235,582.35
District Subtotals	334.90	438.06	31,366,716.00	39,821,548.75	24,566,916.00	19,189,175.75	55,933,632.00	59,010,724.50

Table A-4: Statewide District and Division Stormwater Expenditures

Fiscal Year 2015-2016 Expenditures								
Fiscal Category	Personnel Years Expenditures		Personal Service Expenditures		Operating Expense Expenditures		Total Expenditures	
	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual
Headquarters Divisions								
22 – Administration	0.00	0.00	–	–	–	–	–	–
32 – Equipment	0.00	0.00	–	–	–	4,296.58	–	4,296.58
42 – Legal	2.50	2.65	684,000.00	380,729.83	65,000.00	22,749.39	749,000.00	403,479.22
43 – Environmental Analysis	22.00	20.50	3,142,353.00	3,589,459.31	38,434,442.00	36,578,822.55	41,576,795.00	40,168,281.86
44 – Project Management	0.00	0.00	–	–	–	26.26	–	26.26
51 – Traffic Operations	3.10	0.85	302,860.00	142,760.63	116,912.00	149.08	419,772.00	142,909.71
52 – Right-of-Way	1.00	0.14	20,514.00	18,594.84	750.00	540.00	21,264.00	19,134.84
53 – Design	4.00	2.89	559,664.00	570,710.97	6,000.00	2,674.77	565,664.00	573,385.74
54 – Construction	2.00	1.31	250,054.00	259,267.00	3,000.00	349.04	253,054.00	259,616.04
56 – Maintenance	5.00	5.72	751,828.00	915,559.87	2,794,530.00	902,987.70	3,546,358.00	1,818,547.57
59 – Engineering Services	0.00	0.30	40,011.00	49,146.16	450.00	510.10	40,461.00	49,656.26
Headquarters Subtotals	39.60	34.36	5,751,284.00	5,926,228.61	41,421,084.00	37,513,105.47	47,172,368.00	43,439,334.08
Grand Totals	374.50	472.42	37,118,000.00	45,747,777.36	65,988,000.00	56,702,281.22	103,106,000.00	102,450,058.58

Table A-5: Proposed Statewide District and Division Stormwater Expenditures

Proposed Expenditures (Fiscal Year 2016-2017)				
Fiscal Category	Personnel Years Expenditures	Personal Service Expenditures	Operating Expense Expenditures	Total Expenditures
Districts				
1	14.40	1,111,060.00	1,225,713.00	2,336,773.00
2	20.50	1,565,798.00	1,376,802.00	2,942,600.00
3	56.90	3,789,500.00	3,610,276.00	7,399,776.00
4	41.00	2,425,280.00	1,605,681.00	4,030,961.00
5	20.70	1,515,800.00	660,630.00	2,176,430.00
6	31.90	1,818,960.00	1,337,153.00	3,156,113.00
7	41.90	3,273,700.00	6,825,791.00	10,099,491.00
8	25.00	1,515,801.00	2,703,847.00	4,219,648.00
9	9.30	606,320.00	370,987.00	977,307.00
10	19.60	1,440,010.00	1,283,192.00	2,723,202.00
11	29.60	1,818,960.00	1,987,157.00	3,806,117.00
12	24.80	1,440,010.00	1,579,687.00	3,019,697.00
District Subtotals	335.60	22,321,199.00	24,566,916.00	46,888,115.00
Headquarters Divisions				
22 – Administration	0.00	0.00	0.00	0.00
32 – Equipment	0.00	0.00	0.00	0.00
42 – Legal	3.40	685,000.00	65,000.00	750,000.00
43 – Environmental Analysis	22.00	0.00	38,434,442.00	38,434,442.00
44 – Project Management	0.00	9,621,000.00	0.00	9,621,000.00
51 – Traffic Operations	2.10	1,705,000.00	116,912.00	1,821,912.00
52 – Right-of-Way	0.50	0.00	750.00	750.00
53 – Design	4.00	0.00	6,000.00	6,000.00
54 – Construction	2.00	0.00	3,000.00	3,000.00
56 – Maintenance	5.00	2,877,801.00	2,794,530.00	5,672,331.00
59 – Engineering Services	0.30	0.00	450.00	450.00
Headquarters Subtotals	39.30	14,888,801.00	41,421,084.00	56,309,885.00
Grand Totals	374.90	37,210,000.00	65,988,000.00	103,198,000.00

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Incident Reporting – Non-Compliance and Potential/Threatened Non-Compliance

Caltrans is required to report known emergency, field, administrative, and anticipated (threatened) non-compliance incidents via SMARTS (Caltrans Conformed NPDES Permit Section E.2.b.6 and Draft SWMP, Table 16-1). During the 2015-2016 fiscal year, Caltrans complied with this requirement as summarized in Table A-6.

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Table A-6: Incidents of Non-Compliance Summary

District/HQ Functional Unit	Incident Date	Type (Emergency, Field, or Administrative)	Description of Incident	Location Description	Location Latitude	Location Longitude	Date Reported to RWQCB	Required Corrective Actions	Status
1	7/9/2015 – 7/13/15	Field	Uncured grout in contact with spring water flow	Seaside Wall, Men-1-71, Retaining wall weep drain outlet.	39.558	-123.7650	7/13/2015	Used dirt and plastic to separate the spring water flows from fresh grout.	Resolved 7/13/15
1	9/1/2015	Administrative	Late Annual Report upload	Seaside Wall, NA	N/A	N/A	8/29/2016	Upload Annual Report	Completed 8/29/2016
1	12/28/2015	Administrative	Late upload NAL exceedance	Seaside Wall, NA	N/A	N/A	12/18/2015	Upload NAL Exceedance to SMARTS	Completed 8/29/2016
1	2/8/2016	Administrative	Late upload NAL exceedance	Seaside Wall, NA	N/A	N/A	1/28/2016	Upload NAL Exceedance to SMARTS	Completed 8/29/2016
1	5/2/2016	Administrative	Late upload NAL exceedance	Seaside Wall, NA	N/A	N/A	4/22/2016	Upload NAL Exceedance to SMARTS	Completed 8/29/2016
1	9/16/21015 – 9/17/2015	Field	No stormwater sampling	Redcrest Buttress, Hum-101-41.2	40.4135	-123.9652	8/31/2016	Discussed minimum rain event sampling criteria with WPCM.	Completed 8/23/2016
1	11/9/2015	Field	No Sampling	Redcrest Buttress, Hum-101-41.2	40.4135	-123.9652	8/31/2016	Discussed minimum rain event sampling criteria with WPCM.	Completed 8/23/2016
1	11/15/2015	Field	No Sampling	Redcrest Buttress, Hum-101-41.2	40.4135	-123.9652	8/31/2016	Discussed minimum rain event sampling criteria with WPCM.	Completed 8/23/2016
1	11/24/2015	Field	No stormwater sampling	Redcrest Buttress, Hum-101-41.2	40.4135	-123.9652	8/31/2016	Discussed minimum rain event sampling criteria with WPCM.	Completed 8/23/2016
1	12/3/2015-12/4/2015	Field	No Sampling	Redcrest Buttress, Hum-101-41.2	40.4135	-123.9652	8/31/2016	Discussed minimum rain event sampling criteria with WPCM.	Completed 8/23/2016
1	12/09/2015-12/11/2015	Field	No pH sampling	Redcrest Buttress, Hum-101-41.2	40.4135	-123.9652	8/31/2016	Discussed minimum rain event sampling criteria with WPCM.	Completed 8/23/2016
1	12/18/2015-12/30/2015	Field	No pH sampling and/or turbidity sampling	Redcrest Buttress, Hum-101-41.2	40.4135	-123.9652	8/31/2016	Discussed minimum rain event sampling criteria with WPCM.	Completed 8/23/2016
1	1/4/2016 – 01/09/2016	Field	No pH sampling and/or turbidity sampling	Redcrest Buttress, Hum-101-41.2	40.4135	-123.9652	8/31/2016	Discussed minimum rain event sampling criteria with WPCM.	Completed 8/23/2016
1	1/12/2016-1/22/2016	Field	No pH sampling and/or turbidity sampling	Redcrest Buttress, Hum-101-41.2	40.4135	-123.9652	8/31/2016	Discussed minimum rain event sampling criteria with WPCM.	Completed 8/23/2016
1	1/28/2016	Field	No pH sampling	Redcrest Buttress, Hum-101-41.2	40.4135	-123.9652	8/31/2016	Discussed minimum rain event sampling criteria with WPCM.	Completed 8/23/2016
1	2/19/2016	Field	No Sampling	Redcrest Buttress, Hum-101-41.2	40.4135	-123.9652	8/31/2016	Discussed minimum rain event sampling criteria with WPCM.	Completed 8/23/2016
2	11/14/2015 & 12/30/2015	Emergency	A major slide within an existing construction site. Construction to remove the slide material and stabilize the slope began 1/21/2016. The original construction project is ongoing.	TRI-299-PM 12.3/12.9	40.8868	-123.5911	-	Remove and stabilize slide	The existing construction project continues.
2	3/14/2016	Emergency	A major slip out that removed an entire section of the roadway. Construction to reconstruct the embankment and roadway began 3/16/2016.	TRI-3 -PM 40-41.5	40.8268	-122.8881	-	Remove and stabilize slide. Reconstruct roadway. Restore watercourse.	The project was 95% complete on 6/13/2016.
2	4/5/2016	Field	Caltrans Encroachment Permit writer observed a local business pumping water from underground vault into the gutter within the highway right-of-way.	Lassen 36 PM 25.3, Ash Street & 36 Susanville CA	40.415294	-120.648806	4/8/2016	Inspector notified company the dewatering into right-of-way was not legal and company stopped pumping.	Resolved. Company was referred to Lahontan RWQCB and Lahontan RWQCB was provided with incident information and contacts.
2	7/2/2015	Emergency	Hertz Rental Truck Diesel 150 gallons	Sha-5-PM 43.91	40.923536	-122.410058	N/A	Excavate/Fill	Cleaned up 7/11/2015
2	7/15/2015	Emergency	US Postal Service Diesel 75 gallons	Las-395-PM 131.33	41.085697	-120.469539	N/A	Excavate & fill	Cleaned up 7/29/2015
2	9/7/2015	Emergency	UPS Diesel 40 gallons	Sha-5-PM 56.0	41.055421	-122.374555	N/A	Excavate & Fill	Cleaned up 9/15/2015
2	10/28/2015	Emergency	All Western Transportation Diesel 120 gallons	Sis-5-PM 52.9	41.790942	-122.590136	N/A	Excavate & Fill	Cleaned up 10/30/2015

Table A-6: Incidents of Non-Compliance Summary

District/HQ Functional Unit	Incident Date	Type (Emergency, Field, or Administrative)	Description of Incident	Location Description	Location Latitude	Location Longitude	Date Reported to RWQCB	Required Corrective Actions	Status
2	10/28/2015	Emergency	Mike Lowrie Transp. Diesel 100 gallons	Sha-5-PM 45.33	41.699704	-122.640078	N/A	Excavate & Fill	Cleaned up 11/4/2015
2	11/24/2015	Emergency	Molinero Trucking Diesel 60 gallons	Las-395-PM 3.21	39.755071	-120.038315	N/A	Excavate & Fill	Cleaned up 12/9/2016
2	12/2/2015	Emergency	Yreka Transfer Recycle Diesel 35 gallons	Sha-5-PM 37.4	40.854855	-122.342836	N/A	Absorb	Cleaned up 12/2/2015
2	12/11/2015	Emergency	Golden Express, BC Diesel 100 gallons	Las-44-PM 32.24	40.438423	-120.836552	N/A	Excavate & fill	Cleaned up 3/11/2016
2	12/17/2015	Emergency	CR England Diesel 50-75 gallons	Las-44-PM 28.14	40.45392	-120.913642	N/A	Excavate & fill	Cleaned up 3/16/2016
2	12/18/2015	Emergency	MLT Diesel 50+ gallons	Teh-36-PM 97.54	40.31436	-121.439777	N/A	Excavate & fill	Cleaned up 4/2/2016
2	12/30/2015	Emergency	Fed Ex Diesel 80 gallons	Sis-5-PM 15.3	41.369149	-122.369459	N/A	Excavate & Fill	Cleaned up 2/15/2016
2	1/11/2016	Emergency	Cyclone Trucking Diesel >25 gallons	Plu-70-PM 54.2	39.883684	-120.778842	N/A	Excavate & Fill	Cleaned up 1/16/2016
2	1/15/2016	Emergency	RL Carriers NaOH, Diesel NaOH-5ga D-75g	Sis-5-PM 19.87	41.424253	-122.399084	N/A	Exc., Abs., Fil, O/P NaOH	Cleaned up 1/15/2016
2	1/16/2016	Emergency	A major slide	Tri-299-PM 23.3	40.77995	-123.30971	N/A	Construction to remove the rocks and soil from the roadway and haul the material to a disposal site began 1/28/2016	Project acceptance occurred 7/11/2016
2	1/20/2016	Emergency	E.D. Staub & Sons Diesel, Kerosene >25 gallons	Las-36-PM 10.9	40.352548	-120.88929	N/A	Excavate & fill	Cleaned up 2/13/2016
2	1/29/2016	Emergency	A major slip out that removed part of the roadway	Sis-96-PM 65.6/65.8	41.80736	-123.11267	N/A	Construction to reconstruct the embankment and roadway began 1/29/2016	The project was 95% complete on 7/11/2016
2	2/10/2016	Emergency	A slip out threatened the EB lane	Tri-299-PM 49.9	40.73974	-122.96698	N/A	Construction to repair the slip out and stabilize the slope began 3/14/2016	The project was 95% complete on 6/13/2016
2	2/17/2016	Emergency	Unknown Diesel, Kerosene 50 gallons	Sha-5-PM 45.25	40.937317	-122.422069	N/A	Absorb, Exc. & Fill	Cleaned up 2/22/2016
2	3/2/2016	Emergency	Safety Kleen Diesel 75 gallons	Sis-5- PM 25.89	41.477565	-122.456243	N/A	Excavate & fill	Cleaned up 3/9/2016
3	8/21/2015	Field	NOD. The discharge occurred when the clear water diversion became operational.	EA 03-1A842	-	-	8/24/2015	Incident was reported and necessary corrective actions were taken.	Resolved
3	9/14/2015	Field	NOD. During the dewatering operations, the contractor accidentally opened up a valve allowing dewatered water back into the creek.	EA 03--2A920 PLA-89	39.11167	-120.1591	9/14/2015	Required documentation submitted to Lahontan. Corrective actions taken.	Resolved
3	10/22/2015	Field	NOD. Minor turbidity exceedance caused by letting some water from the creek run through newly constructed box culvert.	EA 03-1A842 ED-89	-	-	10/22/2015	Maintenance or repair of BMPs not required.	Resolved
3	12/21/2015	Field	There was an NAL Exceedance for turbidity. The average NTU was 297.6 and the high turbidity came from run on water from an adjacent property that flowed through an old lay down yard of about 2,000 sq. ft. This occurred at the Magra location which received 2.5 – 3” of rain that day.	EA 03-3E100 PLA-80	-	-	12/28/2015	The contractor placed a fiber roll at the property line to help filter the run on.	Resolved
3	1/29/2016	Field	NOD. Erosion along shoulder. Plows have removed all permanent erosion control material from the shoulder area (pine needles and seed) and water is eroding the shoulder. The discharge did not reach any DI's or water body. The discharge headed directly to a highly vegetated area.	EA 03-1A842 ED-89	-	-	2/1/2016	Gravel bags were placed until a permanent solution was installed.	Resolved
3	2/2/2016	Field	There was an exceedance at the Magra location old laydown yard.	EA 03-3E100 PLA-80	-	-	2/2/2016	Exceedance reported to SMARTS. BMPs repaired and maintained.	Resolved

Table A-6: Incidents of Non-Compliance Summary

District/HQ Functional Unit	Incident Date	Type (Emergency, Field, or Administrative)	Description of Incident	Location Description	Location Latitude	Location Longitude	Date Reported to RWQCB	Required Corrective Actions	Status
3	3/11/2016	Field	There was an exceedance at the Horseshoe Bar staging yard and Brace Road. The Horseshoe Bar yard has multiple sets of BMP's where the water leaves; however, it sounded like they were inundated during the storm.	EA 03-3E100 PLA-80	-	-	3/14/2016	Exceedance reported to SMARTS. BMPs repaired and maintained.	Resolved
3	5/2/2016	Field	NOD. Road and Highway Builder excavated a section of shoulder that exposed a surface released of water that flowed north along the silt fence. The silt fence was compromised and water discharged and entered a nearby wetland that received water from the ditch. The turbidity testing was taken approximately 40 minutes after the discharge was found. The testing results show a turbidity of 4 NTU at the discharge point.	EA 03-2A920 PLA-89	39.11167	-120.1591	5/2/2016	Reported to SMARTS. Road and Highway Builder placed additional material back to the surface water runoff and sealed the flow immediately. Additional weighted waddles and check dams were installed to reduce pollutants exiting our ROW.	Resolved
3	4/12/2016	Field	Minor: BMP Maintenance at 8 locations within the project boundaries.	Sacramento, Highway 80, PMs M0/M10.4	38.64111	-121.4725	NA	Field construction staff to address deficiencies found.	Anticipated to be completed within 72 hours of identification.
3	January, 2016	Field	Concrete waste was being improperly disposed of by Pinnacle Grinding. The Regional Board inspected the site to determine and verify the extent of NPDES permit non-compliance. The contractor was issued a letter of violation and operations were halted until the issue was resolved.	Elk Grove	Unknown	Unknown	1/19/2016	Proper disposal of concrete waste including documentation, BMP implementation to protect all conveyance systems from illicit discharges.	February, 2016
4	6/13/2016	Notice of Discharge, Field	Dust from concrete bridge demolition--minor amount of dust entering Laguna de Santa Rosa Creek.	04-1A2904/SON/12/PM 9.6, Laguna de Santa Rosa Bridge	38.40344	-122.8165	6/13/2016	Added to filter fabric and Visqueen barrier, solid plywood barrier, and dust control Best Management Practices.	Resolved-discharge eliminated,06/13/2016
4	1/28/2016	NEL Exceedance, Field	NEL Violation Report filed -- NEL exceedance from stormwater treatment at Active Treatment System (ATS)	04-1637U4/SF/101/9-0, Presidio Parkway P3 Project, SF County, State Route 101South and North of Route, at ATS location.	37.802622	-122.452942	2/4/2016	The ATS was set up to collect data every 15 minutes. Data was taken from the ATS programmable logic control (PLC) data logger and analyzed on the evening at which point the NEL exceedance was discovered.	All samples were below the NEL of 20 NTU, and the pH was within the range of 6.5 – 8.5 pH.
4	12/21/2015	Notice of Discharge, Field	The Presidio Trust had a Sanitary Sewer (SS) manhole overflow East of Building 229, outside of the Flatiron/Kiewit, a Joint Venture (DBJV), temporary construction easement. SS water flowed from the SS Manhole to a drain inlet DI outside the TCE and to a storm drain manhole just inside the TCE. Both the DI and manhole drain to a 72-inch pipe that discharges to Crissy Marsh. The SS manhole overflow occurred during heavy rainfall.	04-1637U4/SF/101/9-0,Presidio Parkway P3 Project, SF County, State Route 101South and North of Route, at East of building 229.	37.802532	-122.454168	12/23/2015	Downstream of the SS manhole is a plastic wrapped gravel bag berm for run-on control to the jobsite. Also downstream of the SS manhole, on the adjacent slope are straw wattles for run-on control. A wattle surrounds the DI outside of the TCE. There is dirt berm just downstream of the storm drain manhole, which prevented any water flowing across the adjacent job site's stabilized construction roadway.	The issue was resolved with the vac-truck within hours of finding the issue. No additional overflow has been seen since the issue was resolved.
4	11/2/2015	Notice of Discharge, Field	Non-stormwater discharge	04-4A07U4/ALA/580/4.7-8.2, Altamont Pass Truck Climbing Lane	37.72083	-121.65513	11/20/2015	BMPs repaired and maintained.	Resolved
4	11/9/2015	Notice of Discharge, Field	Non-stormwater discharge	04-4A07U4/ALA/580/4.7-8.2, Altamont Pass Truck Climbing Lane	37.72083	-121.65513	12/3/2015	BMPs repaired and maintained.	Resolved
4	12/21/2015	NAL Exceedance, Field	NAL Exceedance	04-4A0904/NAPA/29/47-47.2, Troutdale Creek Bridge	38.6674	-122.5989	1/14/2016	reported the NAL Exceedance	Resolved

Table A-6: Incidents of Non-Compliance Summary

District/HQ Functional Unit	Incident Date	Type (Emergency, Field, or Administrative)	Description of Incident	Location Description	Location Latitude	Location Longitude	Date Reported to RWQCB	Required Corrective Actions	Status
4	1/5/2016	NAL Exceedance, Field	NAL Exceedance	04-4A07U4/ALA/580/4.7-8.2, Altamont Pass Truck Climbing Lane	37.72083	-121.65513	1/5/2016	Reported the NAL Exceedance	Resolved
4	1/6/2016	NAL Exceedance, Field	NAL Exceedance	04-4A07U4/ALA/580/4.7-8.2, Altamont Pass Truck Climbing Lane	37.72083	-121.65513	1/6/2016	Reported the NAL Exceedance	Resolved
4	11/27/2015	Notice of Discharge, Field	Contractor removed temporary BMPs in order to re-grade the site. Stormwater was discharged during a rain event	04-3A9214/ALA/880/22.6 – 24, 880 Corridor Marina Blvd., San Leandro	37.710635	-122.166694	12/7/2015	Permanent Erosion Control installed.	Resolved
4	12/17/2015	Notice of Discharge, Field	Slurry leaked to the new DI during abandonment operations of existing drainage system	04-3A9214/ALA/880/22.6 – 24, 880 Corridor Marina Blvd., San Leandro	37.710635	-122.166694	12/23/2015	Concrete slurry was removed from the DI and culvert flushed.	Resolved
4	7/30/2015	Notice of Discharge, Field	During disposal to the East Bay Municipal Utility District, five gallons of water was discharged to the Bay	04-013544/SF/80/8.6 – 8.6, San Francisco–Oakland Bay Bridge (SFOBB) Marine Foundation	37.816293	-122.352452	7/31/2015	Reviewed hose-change procedure with crew to prevent future discharge.	Resolved
4	8/5/2015	Notice of Discharge, Field	During demolition process of exterior walls of E3, a 1/3 cubic ft concrete debris fell into the Bay	04-013544/SF/80/8.6 – 8.6, SFOBB Marine Foundation	37.816293	-122.352452	8/13/2015	Additional floats positioned to create a wider zone of containment.	Resolved
4	8/11/2015	Notice of Discharge, Field	Disposal of an exterior wall into the caisson caused a splash that discharged approximately 10 gallons of water to the Bay.	04-013544/SF/80/8.6 – 8.6, SFOBB Marine Foundation	37.816293	-122.352452	8/13/2015	Lowered water elevation of the caisson.	Resolved
4	6/22/2016	Notice of Discharge, Field	A bypass plug failed on a sanitary sewer line under construction. Partially treated sewer wastewater (chlorinated) was discharged on the street and soil, and it entered a storm drain inlet.	04-235844/SM-101-16.3 / 16.9, 1288 Old Bayshore Highway, Burlingame, CA	37.592412	-122.363059	6/22/2016	The bypassed system was returned to the original line until a new plan was approved including redundant backups for the bypassed line. Additionally, the plug system included gauges outside of the excavation that could be monitored at all times during the bypass. A vacuum truck was also staged onsite during the bypass operations in case another failure occurred.	Resolved
4	12/21/2015	NAL Exceedance, Field	NAL Exceedance Daily Average for turbidity. Sediment and oils from public vehicles were washed off of the roadway and into the drainage inlet on the EB Ramp	1G9404/CC-004-27.5 / R29, Eastbound A-Street on Ramp to Route 4 in Contra Costa County in Antioch	37.998359	-121.80657	Pending	Install additional hydro mulch on slopes to protect them from further erosion. Install silt fence and fiber rolls.	Resolved
4	1/6/2016	NAL Exceedance, Field	NAL Exceedance Daily Average pH	1G9404/CC-004-27.5 / R29, At Sunset Dr. & Cavallo Rd. Near Route 4 in Antioch in Contra Costa County	37.99829	-121.79807	Pending	In Progress	In Progress
4	8/26/2015	Administrative	Started construction on 8/26/15 without enrolling in SMARTS. Enrolled in SMARTS on October 20, 2015.	04-4G5914/SM-280- 9.4 / 9.4	37.4983	-122.3157	10/20/2015	Contacted Water Board and enrolled in SMARTS	Resolved

Table A-6: Incidents of Non-Compliance Summary

District/HQ Functional Unit	Incident Date	Type (Emergency, Field, or Administrative)	Description of Incident	Location Description	Location Latitude	Location Longitude	Date Reported to RWQCB	Required Corrective Actions	Status
5	January 6, 2016	Field	Type 2 permanent erosion control was in the process of being applied to slopes. However, it was not complete, lacking hydroseeding, hydromulch, netting, and permanent fiber rolls. One row of fiber rolls was placed at top of slope, but only marginally effective. DIs had been protected but was removed for paving on 12/28 and not replaced. 3" of rain over two-day period caused compost on Fairview on and off ramp slopes to sluice down to toe of slopes and thence into unprotected drainage inlets, which flow into Las Vegas Creek. This occurred over a two-hour period at the height of the storm, roughly 0900-1100.	Las Vegas Creek, City of Goleta, Santa Barbara County SBR-101-22.3/23.0	34.4393	-119.83296	1/11/2016	1/7/2016—two to three rolls of straw wattles on both sides of off ramp slope and one or two rows on freeway side of on ramp slope. Spray temporary erosion control (bonded fiber matrix) on above slopes. Encircle all drainage inlets (7) with fiber rolls or gravel bag check dams. Type 2 erosion control as described above will be applied to all slopes. Permanent fiber rolls will be applied to all slopes, per contract plans. Check dams will protect D.I.'s as needed.	Resolved. Construction in progress.

Table A-6: Incidents of Non-Compliance Summary

District/HQ Functional Unit	Incident Date	Type (Emergency, Field, or Administrative)	Description of Incident	Location Description	Location Latitude	Location Longitude	Date Reported to RWQCB	Required Corrective Actions	Status
5	January 19, 2016	Field	<p>The storm event on January 19, 2016 produced almost 3 inches of rain.</p> <p>There were 3 incidents during the rain event at the following locations:</p> <p>1. Drainage System 1 at Station (STA) 302+00 2. Arroyo de Los Playanos at STA 328+00 3. Arroyo de Corral at STA 337+00</p> <p>Location 1: During the storm, the BMPs in place were overwhelmed around STA 302+00. The grading in this area was such that a low point adjacent to DS 1 impounded storm water from the jobsite. The precipitation from the rain event overwhelmed the BMPs that were in place, which consisted of a fiber roll and gravel bags. The water flowed through the existing culvert (Drainage System 1) which feeds a wetland on the west side of the highway. The amount of sediment that entered the wetland is unknown.</p> <p>Location 2: Grading on the north abutment at Arroyo de Los Playanos impounded precipitation from the rain event. As the impounded storm water was dewatered into the existing vegetated grassland, water flowed across the vegetated field onto the haul road, through gravel bag check dams, and down into the Arroyo de Los Playanos drainage. The amount of sediment that entered the drainage at this location is unknown.</p> <p>Location 3: Precipitation collected at a low spot on the southern abutment slope for the Arroyo del Corral bridge. There were fiber rolls in place on the slope, but the volume of water overwhelmed the BMPs and sediment entered Arroyo del Corral. The quantity of sediment is unknown.</p>	Piedras Blancas realignment, San Luis Obispo County SLO-1-64.0/R66.9	35.67786	-121.28317	1/22/2016	<p>Location 1: The contractor has set up a dewatering system that pumps the impounded storm water from the low spot into either storage tanks where it will be used in the construction operation or to a sprinkler system to disperse into existing vegetation.</p> <p>Location 2: The contractor added fiber roll check dams to the existing gravel bag check dams. Contractor is applying BFM to areas that are in need of erosion control. Future impounded storm water will be dewatered through a sprinkler system into existing vegetation.</p> <p>Location 3: The contractor is maintaining the existing fiber rolls, temporary large sediment barrier, and check dams. Temporary cover was added to location with erosion. Impounded storm water is dewatered into existing vegetation through pipes that outlet into sediment filter bag surrounded by gravel bag berm. The area is going to continue to be monitored to see if additional measures are needed. Contractor is applying BFM to areas that are in need of erosion control.</p>	Resolved. Construction in progress.
5	None	-	-	-	-	-	-	-	-
6	None	-	-	-	-	-	-	-	-
7	None	-	-	-	-	-	-	-	-

Table A-6: Incidents of Non-Compliance Summary

District/HQ Functional Unit	Incident Date	Type (Emergency, Field, or Administrative)	Description of Incident	Location Description	Location Latitude	Location Longitude	Date Reported to RWQCB	Required Corrective Actions	Status
8	-	Field	Waste Discharge was reported for project work within waters of the state. 4.4.14 the state notified CT that report was incomplete. On 5.16.14, CT submitted additional info. 7.15.14, subsequent to second submittal still incomplete report. 6.5.15 RWB inspector documented extensive work to initiate within the waters of the state and ongoing. Response required from CT by 8.17.15	138 Widening	-	-	RWQCB issued NOV 7/31/15	CT, Contractor, and RWQCB are collaborating to resolve.	It has been resolved, but there is more information that needs to be submitted to the water board concerning clean up and abatement and mitigation.
8	3.16.16	Filed/Administrative Notice of Discharge	0K710 – Water Discharging from CSP across Cajon south across temporary construction road and into Cajon Creek. Check dams and gravel bags were breached and entered Cajon Wash. Silt Fence was breached at Cajon Wash Below "A-2" Line at STA 946+00 water ran down adjacent slope and collected into a concentrate flow that breached the silt fence.	Devore – Interchange -109DL (CSP outlet to Cajon Creek), DS167. - 113DL92 (silt Fence at fill area 8)	34.221334, 34.219320	-117.408751, 117.40984	-	Soil stabilization, linear sediment barriers, check dams, inlet protection. Remove sediment from inlet protection. Install additional check dams in K1 gore.	Resolved
8	9.28.15	Filed/Administrative Notice of Discharge	0K710 Storm Water ran unchecked down the side of the concrete barrier between NB15 and T3 Line from K-1 area to existing DS104. There was no inlet protection.	111DL90 (NB15, DS104,T3 line)	34.233575	-117.420562	It was not reported	Install check Dams and inlet protection	Resolved
8	9.28.15	Filed/Administrative Notice of Discharge	Plugged inlet on SB15 median at Kenwood caused erosion of bridge embankment, discharging into inlet at Cajon Blvd., which discharges into Cajon Creek. Cause of Plugging was freeway debris.	115DL94 (Kenwood Embankment, K-3,K-4)	34.236145	-117.425416	It was not reported	Debris was removed early morning during storm and was no longer an issue.	Resolved
8	9.28.15	Filed/Administrative Notice of Discharge	0K710 Evidence of discharge was observed by CT staff. No soil stabilization BMP's or sediment control in place other than gravel bags.	100DL80,(DS 154-157)	34.22097	-117.402696	It was not reported.	Inlet was equipped with protection at the time of the incident, but soil stabilization and linear sediment barrier in the swale were to be installed in the swale to prevent or reduce pollutants.	Resolved
8	9.28.15	Filed/Administrative Notice of Discharge	0K710 Drain inlet south end of K1 Gore had inlet protection in place but the amount of rain was too much to handle. Sediment had built up to the highest gravel bag surrounding the inlet allowing turbid water to enter the inlet.	110DL89, (K1 Gore)	34.23557	-117.423095	It was not reported.	Install check dams up gradient of the inlet to handle the flow from bridge 14 and above.	Resolved
8	9.28.15	Filed/Administrative Notice of Discharge	0K710 Silt fence was breached at Cajon Creek below Bridge 5, Abutment 4 (fill area 8) near railroad. Water ran down the abutment slope and collected into a concentrated flow that breached the silt fence.	113DL92 (silt fence breach north of railroad bridge 5)	34.21932	-117.409584	It was not reported.	Soil stabilization and linear sediment barriers on the abutment slope and gravel bags to divert some of the runoff from the bridge Deck above.	Slope has been tracked but has not stilled.
8	9.28.15	Filed/Administrative Notice of Discharge	0K710 Water Discharging from CSP, across the Cajon South temporary construction road and into Cajon Creek was carrying sediment from drainage system 167. The silt fence was breached and water entered Cajon Creek.	109DL88 (CSP outlet to Cajon Creek) DS 167	34.221396	-117.408725	It was not reported.	Install gravel dams and gravel bag berms.	Resolved

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8	01.18.16	Filed/Administrative Notice of Discharge	Route 138	Cajon Creek Bmp's installed to move the water around the work plus lined earthen berm and gravel bag perimeter and slope protection and velocity dissipation were breached resulting in a discharge of ephemeral streams into Cajon Creek Wash.	34.3153	-117.4791	1.22.16 verbal notice was followed by an uploaded notice	Contractor to implement repairs within required schedule.	Operation ceased that day. No further comments or actions from the water board.
8	01.18.16	Filed/Administrative Notice of Discharge	Route 138	Sheep Creeks Wash – Soil stabilization on slopes and linear controls throughout the project site and check dams to protect access ramps were installed. BMP's were overwhelmed by the ephemeral streams into Sheep's Creek Wash.	34.42159	-117.6082	1.22.16 verbal notice was followed by an uploaded notice	Contractor to implement repairs within required schedule.	Operation ceased that day. No further comments or actions from the water board.
8	6.6.16	Field	Rte 91 HOV	Magnolia off-ramp. Tracking observed at the entrance to the construction yard.	33.89766	-117.4875	Yes, report was prepared by the water board	Letter was prepared by the contractor to Riverside County Transportation Commission, Dave Thomas, summarizing the SR-91 Construction in Progress (CIP) action plan as requested by the Santa Ana Region Water Quality Control Board.	Submitted to the water board
8	6.6.16	Field	Rte 91 HOV	Magnolia off-ramp, Several DI's in the area did not have inlet protection. Vegetation and sediment had accumulated around the DI's.	33.89647	-117.4875	Yes, report was prepared by the water board	Letter was prepared by the contractor to Riverside County Transportation Commission, Dave Thomas, summarizing the SR-91 CIP action plan as requested by the Santa Ana Region Water Quality Control Board.	Submitted to the water board
9	None	-	-	-	-	-	-	-	-
10	None	-	-	-	-	-	-	-	-
11	1/16/2016	Notice of Violation NO. R9.2016.05015	Failure to comply with discharge prohibition and effluent standards, failure to implement good housekeeping measures for construction materials, waste management, vehicle storage and maintenance. Failure to implement erosion and sediment control BMP's and failure to implements for inspection, maintenance and repair.	11-SD-805 PM 23.7-27.6	32.9024N	117.2217W	4/4/2016	Implement corrective actions and respond to the items listed in NOV. Sent respond to RWQCB on 07/07/16	Resolved
11	9/15/2015	Field	Approximately 1.0" of rainfall occurred within 2 hours. A new storm drain system is being installed but was not connected to the existing temporary line before the forecast rainfall amount of 0.61". Concentrated flow from existing storm drain over-whelmed temporary drainage pipe and discharged over a stabilized slope with a combination of erosion and sediment control BMPs. 6 cubic yards of sediment ended up in a concrete "U" channel and rip-rap protected with several fiber rolls and 4x4s installed	11-SD-805 PM 23.7-27.6	32.9024N	117.2217W	9/23/2015	Remove sediment, construct a wide earthen swale, line it with plastic sheeting, and construct wider temporary slope drain. Remaining drainage system will be completed by October.	Resolved

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District/HQ Functional Unit	Incident Date	Type (Emergency, Field, or Administrative)	Description of Incident	Location Description	Location Latitude	Location Longitude	Date Reported to RWQCB	Required Corrective Actions	Status
11	7/20/2015	Field	Approximately 0.75" of rainfall occurred within 7 hours. A new storm drain system is being installed but was not connected to the existing temporary line before the forecast rainfall amount of 0.09". Concentrated flow from existing storm drain over-whelmed temporary drainage pipe and discharged over a stabilized slope with a combination of erosion and sediment control BMPs. 3 cubic yards of sediment ended up in a concrete "U" channel and rip-rap protected with several fiber rolls and 4x4s installed	11-SD-805 PM 23.7-27.6	32.9024N	117.2217W	7/24/2015	Construct an earthen swale, line it with plastic, and construct wider temporary slope drain. Remaining drainage system will be completed by October.	Resolved
11	1/7/2016	Field	Approximately 3.0" of rainfall occurred within 24 hours. A new storm drain system is being installed but was not connected to the existing temporary line before the forecast rainfall amount of 0.61". Concentrated flow from existing storm drain over-whelmed temporary drainage pipe and discharged over a stabilized slope with a combination of erosion and sediment control BMPs. Approximately 3 cubic yards of sediment ended up in a concrete "U" channel and rip-rap protected with several fiber rolls and 4x4s installed	11-SD-805 PM 23.7-27.6	32.9024N	117.2217W	1/13/2016	Remove sediment, repair and replace old storm drain line after a thorough investigation to determine the root cause.	Resolved
11	7/29/2015	Administrative	Failed to provide an annual report for the first 2 years which was the requirement by 401 Water Quality Certification	11-SD-94 PM R2.2-R9.5 , 11-SD-805 PM R12.3-R16.8, 11-SD-15 PM R0.0-R5.2	32.7183N	117.1125W	7/12/2016	Sent a letter to RWQCB to fill the reporting requirement.	Resolved
11	3/22/2016	Administrative	Failed to pay the required annual fee for the amount of \$100.00	11-SD-11 PM 0.0-1.6	-	-	6/30/2016	Paid the fee to Regional Water Quality Control Board	Resolved
11	9/15/2015	Field	An inlet near the beginning of the ramp to Route 5 was plugged up by debris. Another inlet located adjacent to the curb inlet in the landscape area was plugged and caused water ponding on the highway. Excessive amount of rain and debris from surrounding slopes caused the inlets to be plugged and caused the flooding in this low-lying area.	11-SD-5/163 PM 15.7/16.3, 0.5/3.2 -On State Route 163, south bound just south of Laurel Street at the beginning of the ramp to Rte 5	-	-	9/22/2015	Drainage inlet cleaning and protection, and street sweeping BMPs were implemented immediately after discharge were discovered. Maintaining all other BMPs. Implementation of new drainage inlet protection and monitor the run on path of water and insure a clean path to stormwater	Resolved
11	9/15/2015	Field	The amount of rainfall exceeded the forecast amount and concentration. The forecasted amount totaled 0.5" over 24 hrs. The project received 0.9" between 11:30 a.m. to 1:15 p.m. The total amount of rain measured was 1.02" over a 24-hour period. The unexpected volume of run on and run off during the concentrated peril overran BMPs and inlets.	11-SD-15 PM R306-R6.5 SR 15 Mid City Bus Rapid Transit (BRT) 15 Freeway between I-805 and I-8	-	-	9/18/2015	Install additional check dams, grave bags and fiber rolls. Re-build berms overrun during heavy storm. Re-grade median to divert flows and prevent future erosion. Install berms lined with Visqueen at additional locations. Remove any debris from drain inlets. Clean up sediment from construction exits and SR-15. Replenish expended BMP's to prepare for next storm.	Resolved

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11	9/18/2015	Field	Some dirt washed onto the street when the storm water by-passed the storm drain pipe. BMP's worked as planned until the amount of storm water was more than could be handled. 1.15" of rain fell, breaking the old record of 0.12" on this date. A majority of this rain fell with the first two hours.	11-SD-15 PM 6.0	-	-	9/18/2015	More cover with plastic sheeting and gravel bags to prevent any water by passing the storm drainpipe. Built a barrier with gravel bags to prevent storm water from being discharged onto the adjacent street. Installed more plastic sheeting and gravel bags. Schedule to build junction structure will be completed as soon as possible.	Resolved
12	None	-	-	-	-	-	-	-	-